

LAHIVE

&

COCKFIELD

L L P

COUNSELLORS AT LAW  
28 STATE STREET  
BOSTON, MASSACHUSETTS 02109-1784  
TELEPHONE (617) 227-7400  
FAX (617) 742-4214  
lc@lahive.com

JOHN A. LAHIVE, JR. (1928-1997)  
THOMAS V. SMURZYNSKI  
RALPH A. LOREN  
GIULIO A. DeCONTI, JR.  
ANN LAMPORT HAMMITTE  
ELIZABETH A. HANLEY  
AMY BAKER MANDRAGOURAS  
ANTHONY A. LAURENTANO  
KEVIN J. CANNING  
JANE E. REMILLARD  
DeANN FORAN SMITH  
PETER C. LAURO  
JEANNE M. DiGORIO  
DEBRA J. MILASINCIC, Ph.D.  
DAVID J. RIKKERS  
DAVID R. BURNS  
JOHN S. CURRAN  
SEAN D. DETWEILER

CYNTHIA L. KANIK, Ph.D.  
MEGAN E. WILLIAMS, Ph.D.  
RICA NAND  
MICHAEL PHILIPPS \*  
LISA M. DIROCCO  
HATHAWAY P. RUSSELL \*\*\*  
SENIOR COUNSEL  
JAMES E. COCKFIELD  
OF COUNSEL  
JEREMIAH LYNCH  
WILLIAM A. SCOFIELD, JR.  
PATENT AGENTS  
THEODORE R. WEST  
SHAYNE Y. HUFF, Ph.D.  
DANIEL B. KO

TECHNICAL SPECIALISTS  
MARIA LACOTRIPE ZACHARAKIS, Ph.D.\*\*  
CYNTHIA M. SOROS  
PETER W. DINI, Ph.D.  
EUIHOON LEE  
JENNIFER K. ROSENFIELD  
ALLAN TAMESHTIT, Ph.D.  
CATHERINE E. McPHERSON  
ERIC F. WAGNER, Ph.D.  
SHAHID HASAN, Ph.D.  
JACOB G. WEINTRAUB  
PETER A. DIMATTIA  
JONATHAN M. SPARKS, Ph.D.  
CRISTIN E. HOWLEY, Ph.D.  
VINCENT P. LOCCISANO  
MERIDETH C. ARNOLD  
\* Admitted in NY only  
\*\* Passed the Patent Bar Examination  
\*\*\* Admitted in TX only

November 21, 2001

Office of Petitions  
Commissioner for Patents  
Washington, D.C. 20231

Re: Patent Application Serial No. 09/808,911  
Entitled: ACCESS CONTROL PROTOCOL  
FOR USER PROFILE MANAGEMENT  
Filed: March 14, 2001  
Inventors: Eric V. Siegel, et al.  
Attorney Docket No. KAQ-002

Dear Sir:

I enclose herewith for filing in the above-identified application the following:

1. Petition Pursuant To 37 CFR §1.47(a);
2. Statement of Pertinent Facts in Support of Petition Under 37 C.F.R. § 1.47(a) (including Exhibits A-D);
3. Response to Notice To File Missing Parts of Application (in duplicate);
4. Executed Declaration, Petition and Power of Attorney;
5. Request for Five-Month Extension of Time (in duplicate);
6. Copy of Form Notice to File Missing Parts of NonProvisional Application;
7. Three Checks for \$65.00 (surcharge fee), \$980.00 (extension fee), and \$130.00 (petition fee); and
8. A return mailroom postcard.

Please charge any necessary fees to our Deposit Account No. 12-0080. The undersigned requests any extensions of time necessary to respond. *A duplicate of this sheet is enclosed.*

**Certificate of First Class Mailing (37 CFR 1.8(a))**

I hereby certify that this correspondence is deposited with the United States Postal Service as first class mail in an envelope addressed to: Office of Petitions, Commissioner for Patents, Washington, DC 20231.

November 21, 2001

Date

Kevin J. Canning, Esq. Registration No. 35,470

Respectfully submitted,

LAHIVE & COCKFIELD, LLP

*Kevin J. Canning*

Kevin J. Canning, Esq.  
Registration No. 35,470  
Attorney for Applicants



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the application of: Eric Victor Siegel, Eleazar Eskin, Alexander Day Chaffee and Zhi-Da Zhong

Serial No.: 09/808,911

Filed: March 14, 2001

For: ACCESS CONTROL PROTOCOL FOR USER PROFILE MANAGEMENT

Attorney Docket No.: KAQ-002

Group Art Unit:

Examiner:

Office of Petitions  
Assistant Commissioner for Patents  
Washington, D.C. 20231

**Certificate of First Class Mailing**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, Office of Petitions , Washington, D.C. 20231 on the date set forth below.

November 21, 2001

Date of Signature and of Mail Deposit

By:

  
Kevin J. Canning  
Reg. No. 35,470  
Attorney for Applicants

**RESPONSE TO NOTICE TO FILE MISSING PARTS  
OF NON-PROVISIONAL APPLICATION**

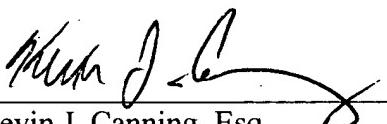
Dear Sir:

Responsive to the Notice to File Missing Parts of Nonprovisional Application Filed Under 37 CFR 1.53(b) Filing Date Granted mailed April 23, 2001, Applicants' attorney is enclosing an executed Declaration, Petition and Power of Attorney for Patent Application together with a copy of the Notice to File Missing Parts of Nonprovisional Application Filed Under 37 CFR 1.53(b) Filing Date Granted. Applicants' attorney is also enclosing a check in the amount of \$65.00 for the declaration surcharge as set forth

in 37 CFR 1.16(e) based on non-small entity status, a Request for Five-Month Extension of Time, and a check in the amount of \$980.00 for extension fee.

Please charge any underpayments or credit any overpayments associated with this communication to our Deposit Account No. 12-0080. A duplicate of this letter is enclosed.

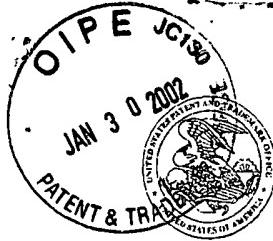
Respectfully submitted,



Kevin J. Canning, Esq.  
Registration No. 35,470  
Attorney for Applicants

LAHIVE & COCKFIELD, LLP  
28 State Street  
Boston, MA 02109  
Tel. (617) 227-7400

Dated: November 21, 2001



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/808,911	03/14/2001	Eric Victor Siegel	KAQ-002

CONFIRMATION NO. 4876

FORMALITIES LETTER



\*OC00000005994162\*

*RECEIVED*  
*MAR 21 2002*  
*OFFICE OF PETITIONS*  
*Date Mailed: 04/23/2001*

**NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATIONS**

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 65.

*A copy of this notice **MUST** be returned with the reply.*

*Soble*  


---

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

~~03/11/2002 NROCHA1 00000010 09808911~~

~~130.00 OP~~

03/11/2002 NROCHA1 00000010 09808911

65.00 OP

03 FC:205

**LAHIVE**  
**&**  
**COCKFIELD**  
 L L P

COUNSELLORS AT LAW  
 28 STATE STREET  
 BOSTON, MASSACHUSETTS 02109-1784  
 TELEPHONE (617) 227-7400  
 FAX (617) 742-4214  
 lc@lahive.com



JOHN A. LAHIVE, JR. (1928-1997)  
 THOMAS V. SMURZYNSKI  
 RALPH A. LOREN  
 GIULIO A. DECONTI, JR.  
 ANN LAMPORT HAMMITE  
 ELIZABETH A. HANLEY  
 AMY BAKER MANDRAGOURAS  
 ANTHONY A. LAURENTANO  
 KEVIN J. CANNING  
 JANE E. REMILLARD  
 DeANN FORAN SMITH  
 PETER C. LAURO  
 JEANNE M. DIGIORGIO  
 DEBRA J. MILASINIC, Ph.D.  
 DAVID J. RIKKERS  
 DAVID R. BURNS  
 JOHN S. CURRAN  
 SEAN D. DETWEILER

CYNTHIA L. KARLSON, Ph.D.  
 MEGAN E. WILSON, Ph.D.  
 RICHA NAND  
 MICHAEL PHILLIPPS \*  
 USA M. DIROCCO  
 SENIOR C. UNSEL  
 JAMES E. COCKFIELD  
 OF COUNSEL  
 JEREMIAH LYNCH  
 WILLIAM A. SCOFIELD, JR.  
 PATENT AGENTS  
 PETER S. STECHER  
 THEODORE R. WEST  
 SHAYNE Y. HUFF, Ph.D.  
 HATHAWAY P. RUSSELL  
 DANIEL B. KO

TECHNICAL SPECIALISTS  
 MARIA LACOTTRIPE ZACHARAKIS, Ph.D. \*\*  
 CYNTHIA M. SOROS  
 PETER W. DINI, Ph.D.  
 EUIMOON LEE  
 JENNIFER K. ROSENFIELD  
 ALLAN TAMESHTIT, Ph.D.  
 CATHERINE E. MCPHERSON  
 ERIC F. WAGNER, Ph.D.  
 SHAHID HASAN, Ph.D.  
 JACOB G. WEINTRAUB  
 PETER A. DIMATTIA  
 JONATHAN M. SPARKS, Ph.D.  
 CRISTIN E. HOWLEY, Ph.D.  
 VINCENT P. LOCCISANO  
 MERIDETH C. ARNOLD

\* Admitted in NY only  
 \*\* Passed the Patent Bar Examination

VIA FEDERAL EXPRESS  
 October 12, 2001

Eric V. Siegel  
 560 Riverside Drive, #13E  
 New York, New York, 10027

COPY OF PAPERS  
 ORIGINALLY FILED

Re: Patent Application Serial No. 09/808,911  
 Entitled: ACCESS CONTROL PROTOCOL  
 FOR USER PROFILE MANAGEMENT  
 Filed: March 14, 2001  
 Inventors: Eric V. Siegel, et al.  
Our Reference No. KAQ-002

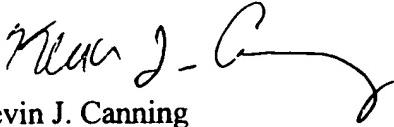
Dear Eric:

For your convenience, we enclose another copy of the Declaration, Petition and Power of Attorney (DPOA) and the Assignment for review and signature (in blue ink) in connection with the above-identified patent application.

Please return the executed documents to us at your earliest convenience, so that we can file them with the U.S. Patent and Trademark Office before the deadline of **October 23, 2001**.

If you have any questions or comments, please do not hesitate to contact us.

Cordially,  
 LAHIVE & COCKFIELD, LLP

  
 Kevin J. Canning

KJC/rkm  
 Enclosures  
 cc: Harry Kargman (w/o enc.)

EXHIBIT B

COPY OF PAPERS  
ORIGINALLY FILED

# FedEx USA Airbill

Ref. # 8257 4339 6664

Express

Inc. No.

Number

Sender's Copy

1 From Please print and press hard  
Date **10/12/01** Sender's FedEx  
Account Number **1046-1244-0**

Sender's Name **Kevin J. Canning**  
Phone **(617) 227-7400**

Company **LAHIVE & COCKFIELD LLP**  
Address **28 STATE ST FL 24**

City **BOSTON**

State **MA**

Zip **02109**

Dept/Division/Room

## 2 Your Internal Billing Reference

First X to acknowledge and accept on behalf of your company

## 5 Packaging

FedEx Envelope/Letter\*

FedEx Pak\*

Other Pak

FedEx Box, Bag,

FedEx Container

FedEx Freight

FedEx Express Saver\*

FedEx Standard Overnight

FedEx 20 Day\*

FedEx Priority Overnight

FedEx 30 Day\*

FedEx Next Business Day\*

FedEx First Overnight

FedEx Next Business Day\*

## 6 Special Handling

SATURDAY Delivery

SUNDAY Delivery

HOLD

HOLD Hold Day

RESTRICTIONS

HOLD Hold Day

HOLD Saturday

RESTRICTIONS

\*  
Unit

use

to

check

here

for

more

info

on

FedEx

Priority

Overnight

Delivery

Service

Options

and

restrictions

on

your

airbill.

\*

Unit

use

to

check

here

for

more

info

on

FedEx

Priority

Overnight

Delivery

Service

Options

and

restrictions

on

your

airbill.

\*

Unit

use

to

check

here

for

more

info

on

FedEx

Priority

Overnight

Delivery

Service

Options

and

restrictions

on

your

airbill.

\*

Unit

use

to

check

here

for

more

info

on

FedEx

Priority

Overnight

Delivery

Service

Options

and

restrictions

on

your

airbill.

\*

Unit

use

to

check

here

for

more

info

on

FedEx

Priority

Overnight

Delivery

Service

Options

and

restrictions

on

your

airbill.

\*

Unit

use

to

check

here

for

more

info

on

FedEx

Priority

Overnight

Delivery

Service

Options

and

restrictions

on

your

airbill.

\*

Unit

use

to

check

here

for

more

info

on

FedEx

Priority

Overnight

Delivery

Service

Options

and

restrictions

on

your

airbill.

\*

Unit

use

to

check

here

for

more

info

on

FedEx

Priority

Overnight

Delivery

Service

Options

and

restrictions

on

your

airbill.

\*

Unit

use

to

check

here

for

more

info

on

FedEx

Priority

Overnight

Delivery

Service

Options

and

restrictions

on

your

airbill.

\*

Unit

use

to

check

here

for

more

info

on

FedEx

Priority

Overnight

Delivery

Service

Options

and

restrictions

on

your

United States



Ship Track Rates Signature Proof Locations Pickup International Tools

Home | About FedEx | Service Info | Careers | Business Tools | Manage My Account | Customer Service | Site Index

(Select More Online Services)



Search for...



- ▶ Track Shipments
- ▶ Alternate Reference Track
- ▶ Email Track
- ▶ Multi-Carrier Track
- ▶ Custom Critical
- ▶ Cargo Track
- ▶ American Freightways
- ▶ Viking Freight

**Related Links**

- ▶ Signature Proof
- ▶ My FedEx
- ▶ FedEx Wireless Solutions
- ▶ Handheld Track
- ▶ FedEx Sidebar
- ▶ Print, Bind & Ship
- ▶ FedEx Address Checker

**Track Shipments  
Detailed Results**

Quick Help

COPY OF PAPERS  
ORIGINALLY FILED

Tracking Number 825743396664  
 Reference Number  
 Ship Date 10/12/2001  
 Delivered To Guard/Security sta  
 Delivery Location NEW YORK NY  
 Delivery Date/Time 10/15/2001 09:46  
 Signed For By A.MERCADO  
 Service Type Priority Letter

**Tracking Options**

- Obtain a Signature Proof of Delivery
- Email these tracking results to one or more recipients
- Track More Shipments

Scan Activity	Date/Time	Comments
Delivered NEW YORK NY	10/15/2001 09:46	
On FedEx vehicle for delivery NEW YORK NY	10/15/2001 08:01	
Left FedEx Ramp EAST BOSTON MA	10/15/2001 06:56	
Arrived at FedEx Destination Location NEW YORK NY	10/15/2001 05:54	
Left FedEx Sort Facility MEMPHIS TN	10/14/2001 11:41	
Package status EAST BOSTON MA	10/13/2001 23:28	(Package in FedEx location)
Left FedEx Ramp EAST BOSTON MA	10/13/2001 12:36	
Left FedEx Origin Location SOUTH BOSTON MA	10/12/2001 22:15	
Picked up by FedEx BOSTON MA	10/12/2001 19:44	
Left FedEx Origin Location BOSTON MA	10/12/2001 18:51	



with

**Email Your Detailed Tracking Results**

Enter your email (optional), up to three email addresses as recipients, add your message, and click on Send Email.

From

To

To

To

Add a message to this email.

fedex.com Terms of Use | Contact Us!  
 This site is protected by copyright and trademark laws under U.S. and  
 International law. Review our [privacy policy](#). All rights reserved.  
 © 1995-2001 FedEx.

From: Harry Kargman <harry@kargo.com>  
To: Kevin Canning (E-mail) <kjc@lahcoc.com>  
Date: 9/4/01 5:18PM  
Subject: RE: How are you

Kevin-

Can you send the documents to Alex directly. I have the documents. I will call you about this.

HK

-----Original Message-----

From: Alex Chaffee [mailto:[alex@stinky.com](mailto:alex@stinky.com)]  
Sent: Tuesday, September 04, 2001 3:48 PM  
To: Harry Kargman  
Subject: Re: How are you

COPY OF PAPERS  
ORIGINALLY FILED

Sure. I'm at

Purple Technology  
Attn: Alex Chaffee  
1836 15th St.  
San Francisco, CA 94103

Hope you're doing well...

Cheers -

- Alex

On Tue, Sep 04, 2001 at 12:09:34PM -0400, Harry Kargman wrote:

> Alex-  
>  
> How are you? We haven't spoken in quite a while. Can you send me your  
> updated contact information. I am supposed to send you documents from  
> Lahive and Cockfield our intellectual property attorneys. Thanks.  
>  
> Harry

—  
Alex Chaffee <mailto:alex@jguru.com>  
jGuru - Java News and FAQs <http://www.jguru.com/alex/>  
Creator of Gamelan <http://www.gamelan.com/>  
Founder of Purple Technology <http://www.purpletech.com/>  
Curator of Stinky Art Collective <http://www.stinky.com/>

**COCKFIELD**  
L L P

COUNSELLORS AT LAW  
28 STATE STREET  
BOSTON, MASSACHUSETTS 02109-1784  
TELEPHONE (617) 227-7400  
FAX (617) 742-4214  
JGC/jc@lahive.com



GRADY A. ULLMAN, JR.  
ANN LAMPORT HAMMITE  
ELIZABETH A. HANLEY  
AMY BAKER MANDRAGOURAS  
ANTHONY A. LAURENTANO  
KEVIN J. CANNING  
JANE E. REMILLARD  
DIANN FORAN SMITH  
PETER C. LAURO  
JEANNE M. DIGIORGIO  
DEBRA J. MILASINCIC, Ph.D.  
DAVID J. RIKKERS  
DAVID R. BURNS  
JOHN S. CURRAN  
SEAN D. DETWEILER

BRIAN MALLEY FREDERIC J. USA M. DIROCCO  
SENIOR COUNSEL  
JAMES E. COCKFIELD  
OF COUNSEL  
JEREMIAH LYNCH  
WILLIAM A. SCOFIELD, JR.  
PATENT AGENTS  
PETER S. STECHER  
THEODORE R. WEST  
SHAYNE Y. HUFF, Ph.D.  
HATHAWAY P. RUSSELL  
DANIEL B. KO

EUNHOON LEE  
JENNIFER K. ROSENFIELD  
ALLAN TAMESHTIT, Ph.D.  
CATHERINE E. MCPHERSON  
ERIC F. WAGNER, Ph.D.  
SHAHID HASAN, Ph.D.  
JACOB G. WEINTRAUB  
JONATHAN M. SPARKS, Ph.D.  
CRISTIN E. HOWLEY, Ph.D.

\* Admitted in NY only  
\*\* Passed the Patent Bar Examination

**CONFIDENTIAL**  
**ATTORNEY/CLIENT PRIVILEGED**  
September 12, 2001

Alexander Day Chaffee  
c/o Purple Technology  
1836 15th Street  
San Francisco, California, 94103

*COPY OF PAPERS  
ORIGINALLY FILED*

Re: Patent Application Serial No. 09/808,911  
Entitled: ACCESS CONTROL PROTOCOL  
FOR USER PROFILE MANAGEMENT  
Filed: March 14, 2001  
Inventors: Eric V. Siegel, et al.  
Our Reference No. KAQ-002

Dear Alex:

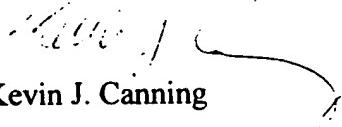
As you may be aware, we filed the above-identified patent application for Kargo, Inc. this past March. In order to complete the filing formalities, we need to have you, as an inventor, execute some documents.

We enclose a copy of the Patent, Declaration, Petition and Power of Attorney (DPOA) and an Assignment for your review and signature (in blue ink) in connection with the above-identified patent application. Please be sure to have your signature on the Assignment notarized.

Please return the executed documents to us at your earliest convenience, so that we can file them with the U.S. Patent and Trademark Office before the deadline of September 23, 2001.

If you have any questions or comments, please do not hesitate to call. Thank you.

Cordially,  
LAHIVE & COCKFIELD, LLP

  
Kevin J. Canning

KJC/rkm  
Enclosures  
cc: Harry Kargman (w/o enc.)

EXHIBIT D